

When Your Broker Calls, Take Notes!

(If you don't know the broker, feel free to hang up!)

Date _____		Time _____	Make copies of this form to have handy and use it to make notes of conversations with your salesperson or adviser. Be sure to record details of the recommendations you receive and the instructions you give. Keep the notes in your files.	
<input type="checkbox"/> Call made	<input type="checkbox"/> Call received	<input type="checkbox"/> Meeting		Location _____
Name of Broker _____		Phone _____		
Broker's Firm _____		Phone _____		
Broker's CRD No. _____	<input type="checkbox"/> Obtained CRD Report *			

1 Investment Recommendation

☐ Buy ☐ Sell

Name of Security _____

Reasons for recommendation _____

How does this meet my investment objectives? _____

What are the risks? _____

I asked to receive written information about the investment before making a decision.

☐ Yes ☐ No

I will get:

- ☐ a prospectus
- ☐ an offering memorandum
- ☐ most recent Annual Report
- ☐ most recent quarterly or interim reports
- ☐ recent news releases
- ☐ research reports
- ☐ other information

Proposed Trade

Number of shares/units _____

Price Per Share \$ _____ Total Cost \$ _____

Commission _____

My instructions

☐ Do nothing ☐ Buy ☐ Sell

Number _____ Price \$ _____

* Call your securities regulator to obtain the CRD report, which discloses any disciplinary incidents, on your salesperson.

If you suspect wrong doing, or need more information, contact the California Department of Corporations' Consumer Services Representative at (213) 576-7643, or visit www.corp.ca.gov on the Internet.

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Additional Investment Recommendation on same date

☐ Buy

☐ Sell

Name of Security _____

I asked to receive written information about the investment before making a decision.

☐ Yes

☐ No

Reasons for recommendation _____

I will get:

☐ a prospectus

☐ an offering memorandum

☐ most recent Annual Report

☐ most recent quarterly or interim reports

☐ recent news releases

☐ research reports

☐ other information

How does this meet my investment objectives? _____

Proposed Trade

Number of shares/units _____

Price Per Share \$ _____

Total Cost \$ _____

Commission _____

What are the risks? _____

My instructions

☐ Do nothing

☐ Buy

☐ Sell

Number _____ Price \$ _____

Notes

Notes made by: _____

Date _____

Time _____

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